

PTO 1390 Page 1 of 1

US Dept. of Commerce Pat. & Trademark Office

Attorney's Docket No.

23390

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 USC 371**

US. Application No. (if known)

10/550365

INTERNATIONAL APP. NO.

PCT/DE2004/000315

INTERNATIONAL FILING DATE

20 February 2004

PRIORITY DATE CLAIMED

21 March 2003

TITLE OF INVENTION

METHOD FOR DEPOSITING COMPOUNDS ON A SUBSTRATE BY MEANS...

APPLICANT(S) FOR DO/EO/US

Hilde HARDTDEGEN et al

Applicant herewith submits to the United States Designated/Elected Office (DO/EU/US) the following .

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 USC 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 USC 371.
3. ☐ This is an express request to begin national examination procedures (35 USC 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 USC 317(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☐ A copy of the International Application as filed (35 USC 371(c)(2)).
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau.
 - b. ☐ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Patent Office.
6. ☐ A translation of the International application into English.
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 USC 371(c)(3)).
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau.
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 USC 371(c)(3).
9. ☒ An oath or declaration of the inventor(s) (35 USC 371(c)(4).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 USC 371(c)(5)).

Items 11. to 16. below concern documents or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An Assignment for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A **FIRST** preliminary amendment.
- ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items of information.

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|--|---|---------------------------------------|
| US Application no (if known) 10/550365 | International Application no. PCT/DE2004/000315 | Attorney's Docket No. 23390 |
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| 17. The following fees are submitted: Basic National Fee (37 CFR 1.492(a)(1)-(5): Search report has been prepared by the EPO or JP \$950.00 Int'l prel. exam. fee paid to USPTO (37 CFR 1.482) \$750.00 No int'l prel. exam. fee paid to USPTO (37 CFR 1.482) but int'l search fee paid to USPTO (37 CFR 1.445(a)(2)) \$790.00 Neither int'l prel. exam fee (37 CFR 1.482) nor int'l search fee (37 CFR 1.455(a)(2)) paid to USPTO \$1000.00 Intl. prel. exam. fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Art. 33(2-4) \$200.00 ENTER APPROPRIATE BASIC FEE AMOUNT | CALCULATIONS PTO USE ONLY |
| Surcharge of \$130.00 for furnishing oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)). | \$130 |

| CLAIMS | NO. FILED | NO. EXTRA | RATE | | |
|--|-----------|-----------|------|-------|--|
| Total claims | | | | | |
| Ind. claims | | | | | |
| MULTIPLE DEP. CLAIM(S) (if applicable) (see prel. amt.) | | | | | |
| TOTAL OF ABOVE CALCULATIONS | | | | \$130 | |
| Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (37 CFR 1.2, 1.27, 1.28) | | | | \$0 | |
| SUBTOTAL | | | | \$130 | |
| Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)). | | | | | |
| TOTAL NATIONAL FEE | | | | \$130 | |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The Assignment may be accompanied by an appropriate PTO-1595 cover sheet (37 CFR 3.28, 3.39) | | | | \$40 | |
| TOTAL FEES ENCLOSED | | | | \$170 | |

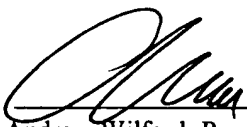
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|---|---|
| 06/21/2006 MAYPAGH 00000113 10550365 01 FC:1617 130.00 DP | Amt to be refunded Amt to be charged |
|---|---|

a. ☐ A check in the amount of \$130 to cover the above fees is enclosed
 b. ☐ Please charge my deposit account 18-2025 \$00.00 to cover the above fees. A copy of this sheet is enclosed.
 c. ☒ Please charge the amount due to the credit card identified in the attached PTO-2038.
 d. ☒ The commissioner is authorized to charge any additional fees which may be required or credit any overpayment to deposit account 18-2025. A copy of this sheet is enclosed
 e. ☒ A PTO-2038 in the amount of \$40 to cover recordal of the Assignment is enclosed

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

Send all correspondence to:

The Firm of Karl F. Ross P.C.
5676 Riverdale Ave. Box 900
Riverdale (Bronx), NY 10471


 Andrew Wilford, Reg. No. 26,597

23390

IN THE U.S. PATENT AND TRADEMARK OFFICE

Inventor Hilde HARDTDEGEN et al
Patent App. 10/550,365
Filed 20 September 2005
For METHOD FOR DEPOSITING COMPOUNDS ON A SUBSTRATE
 BY MEANS...

Art Unit Not known

Hon. Commissioner of Patents
Box 1450
Alexandria, VA 22313-1450

COMMUNICATION

This communication is submitted in response to the Notification of Missing Requirements under 35 USC 371 in the United States Designated Elected Office mailed 15 May 2006.

Applicants note that the US Patent and Trademark Office has requested a Sequence Listing in this application pursuant to 37 CFR 1.821. Applicants point out that this application is not a biotechnology application, and includes no polynucleotide or polypeptide sequence, and so no sequence listing is necessary. The initials MOCVD do not relate to a polynucleotide or polypeptide sequence but relate to the name of a chemical deposition process where a metal organic compound is deposited on a substrate.

In a telephone conversation on 19 May 2006, the undersigned informed Barbara Campbell of this information and she

indicated that we should inform the US Patent and Trademark Office in writing that this application is not a biotechnology application and that no sequence listing is necessary.

In order to complete the entry of this PCT Application into the US National Phase, Applicants are enclosing a signed declaration and power of attorney and a signed assignment. The fee for filing the completion papers may be charged to the credit card of the undersigned attorneys. Form PTO 2038 is enclosed to authorize charging the fee by credit card.

Respectfully submitted,
The Firm of Karl F. Ross P.C.



By: Jonathan Myers, 26,963
Attorney for Applicant

June 13, 2006
5676 Riverdale Avenue Box 900
Bronx, NY 10471-0900
Cust. No.: 535
Tel: (718) 884-6600
Fax: (718) 601-1099

Enclosures:
PTO 2038
Copy of PTO Notice



UNITED STATES PATENT AND TRADEMARK OFFICE

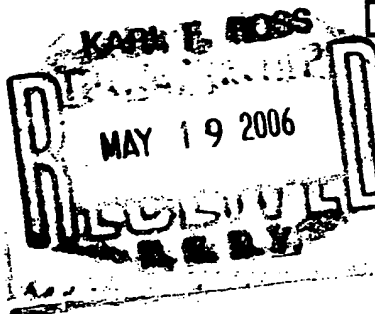
UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

| | | |
|-----------------------------|-----------------------|------------------|
| U.S. APPLICATION NUMBER NO. | FIRST NAMED APPLICANT | ATTY. DOCKET NO. |
| 10/550,365 | Hilde Hardtdegen | 23390 |

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| INTERNATIONAL APPLICATION NO. |
| PCT/DE04/00315 |

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|------------------|---------------|
| I.A. FILING DATE | PRIORITY DATE |
| 02/20/2004 | 03/21/2003 |

535
THE FIRM OF KARL F ROSS
5676 RIVERDALE AVENUE
PO BOX 900
RIVERDALE (BRONX), NY 10471-0900



CONFIRMATION NO. 7978

371 FORMALITIES LETTER



OC000000018788806

Date Mailed: 05/15/2006

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Copy of the International Application filed on 09/20/2005
- English Translation of the IA filed on 09/20/2005
- Copy of the International Search Report filed on 09/20/2005
- Copy of IPE Report filed on 09/20/2005
- Copy of Annexes to the IPER filed on 09/20/2005
- English Translation of Annexes to the IPE filed on 09/20/2005
- Preliminary Amendments filed on 09/20/2005
- Information Disclosure Statements filed on 09/20/2005
- U.S. Basic National Fees filed on 09/20/2005
- Priority Documents filed on 09/20/2005
- Non-English Language Application filed on 09/20/2005
- Specification filed on 09/20/2005
- Claims filed on 09/20/2005
- Abstracts filed on 09/20/2005
- Drawings filed on 09/20/2005

The applicant needs to satisfy supplemental fees problems indicated below.

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- To avoid abandonment, a surcharge (for late submission of filing fee, search fee, examination fee or oath

BEST AVAILABLE COPY

or declaration) as set forth in 37 CFR 1.492(h) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

SUMMARY OF FEES DUE:

Total additional fees required for this application is \$130 for a Large Entity:

- **\$130 Surcharge.**

- This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 CFR 1.821(c) Applicant must provide an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment specifically directing its entry into the application and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000).
- A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 CFR 1.821(e). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

Applicant is cautioned that correction of the above items may cause the specification and drawings page count to exceed 100 pages. If the specification and drawings exceed 100 pages, applicant will need to submit the required application size fee.

For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:

- For Rules Interpretation, call (571) 272-0951
- For Patentin Software Program Help, call Patent EBC at 1-866-217-9197 or directly at 703-305-3028 / 703-308-6845 between the hours of 6 a.m. and 12 midnight, Monday through Friday, EST.
- Send e-mail correspondence for Patentin Software Program Help @ ebc@uspto.gov

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

BARBARA A CAMPBELL

Telephone: (703) 308-9140 EXT 217

PART 1 - ATTORNEY/APPLICANT COPY

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|-----------------------------|-------------------------------|------------------|
| U.S. APPLICATION NUMBER NO. | INTERNATIONAL APPLICATION NO. | ATTY. DOCKET NO. |
| 10/550,365 | PCT/DE04/00315 | 23390 |

FORM PCT/DO/EO/905 (371 Formalities Notice)